

CORRECTIONS INFORMATION SERIES:

**Unit Management**

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## INTRODUCTION

Unit Management is an approach to inmate management in which the total inmate population is subdivided into smaller groups, which operate semi-autonomously. Attached to each unit is a staff consisting, at a minimum, of a unit manager, correctional officers, and counselors. Unit management is the management mode used by the Federal Bureau of Prisons. In addition, a number of state correctional agencies have implemented unit management in their facilities, including the following:

Georgia State Prison, Reidsville, Georgia (Maximum Security)

Nebraska State Penitentiary, Lincoln, Nebraska (Maximum/Medium/  
Minimum Security)

Lincoln Correctional Center, Lincoln, Nebraska (Medium/Minimum  
Security)

Kulani Correctional Facility, Hilo, Hawaii (Medium/Minimum Security)

Missouri Eastern Correctional Facility, Pacific, Missouri (Medium  
Security)

Joe Harp Correctional Center, Lexington, Oklahoma (Medium Security)

This document, which is intended as an introductory guide to unit management, consists of the following materials:

-- "Functional Units: A Different Correctional Approach," by Robert B. Levinson, Ph.D., and Roy E. Gerard, reprinted from Federal Probation, December 1973.

-- The Unit Management Manual developed by the Federal Bureau of Prisons, March 1980.

Further information on the unit management concept can be obtained from the NIC Information Center.

FUNCTIONAL UNITS: A DIFFERENT CORRECTIONAL APPROACH
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Reprinted from Federal Probation, December 1973  
By Robert B. Levinson, Ph.D., and Roy E. Gerard

Accepting the proposition that there will always be a need to confine some of society's law violators, advocates for prison reform have persistently stressed the need for humane, rehabilitation-oriented institutions. Cogent arguments have been made regarding the need for facilities with more adequate staff/inmate ratios. This is seen as a major achievement towards reducing the anonymity of offenders; as a critical component in staff coming to view those incarcerated as people and, thereby, fostering a more healthy institutional climate. Limitations on manpower and other resources suggest the need for the most efficient use of those means that are made available. With these considerations in mind, the Federal Bureau of Prisons has initiated a program to restructure the organization of its institutions into Functional Units.

#### Functional Units

A Functional Unit can be conceptualized as one of a number of small, self-contained "institutions" operating in semiautonomous fashion within the confines of a larger facility. The concept includes the notion of: (a) A relatively small number of offenders (50400); (b) who are housed together (generally throughout the length of their institutional stay or as they near completion--12 to 18 months--of a long term); (c) and who work in a close, intensive treatment relationship with a multidisciplinary, relatively permanently assigned team of staff members whose offices are located on the Unit; (d) with this latter group having decision-making authority in all within-institution aspects of programming and institutional living; (e) and the assignment of an offender to a particular Unit being contingent upon his need for the specific type of treatment program offered.

While it is preferable to identify a Functional Unit with a single living unit (ideally, one with differentiated quarters within the building), this is not a requirement. Given that the above conditions (a-e) prevail, a Functional Unit can encompass two living areas if this more adequately "fits" institutional architecture.

#### Decentralization

The consequence of organizing a total correctional institution around the Functional Unit concept is to decentralize the facility's organizational structure. This means a "flattening out" of the typical hierarchal pyramid; thereby placing those having the most immediate and direct

contact with the residents in close proximity (organizationally) to top-level management. Specialists (such as caseworkers and educators) continue to function at a line and at the supervisory or Department Head level in both the centralized and decentralized institution. In the centralized facility the generalist, who manages activities which cross department lines, is represented on the table of organization at the associate warden (AW) level; in the decentralized institution both the unit manager and the AW are generalists (with the latter functioning in the more "pure" managerial role, while the former individual still gets involved to some degree in the delivery of direct services).

The result of this restructured table of organization is a smaller gap between those who have the most contact with the resident population and the policy, decision-making executive staff. However, decentralization and the establishment of Functional Units can be a mixed blessing.

Perhaps the most difficult aspect of implementing a Functional Unit approach is "getting there." The transition stage--moving from a centralized organization to a decentralized structure--presents a complexity of problems that are not found in either the totally centralized or totally decentralized institution. One problem in the transitional facility centers about the ability of the associate warden to coordinate the programs of the decentralized units with the rest of the institution's centralized operations. Program information has difficulty filtering up to the associate warden. The relationship between the manager of the Functional Unit and the department head who ordinarily would be supervising "his" staff members in each Unit becomes one fraught with complications. Unit managers do not relish "interference" with the running of their unit. There tends to be a lack of communication between the various departments and the units. As a consequence, program coordination becomes more difficult. Faced with these problems, the warden must make a definite decision concerning decentralization and Functional Units.

#### Functional Units: Advantages

The advantages of Functional Units can be clustered under three headings: correction, care, and control.

Correction--The semiautonomous nature of the Functional Unit permits maximum flexibility, both in the initial designing of programs and in later modifications required to meet changing population characteristics. Functional Unit programs may be individually altered, removed, or added with only the most minimal disturbance to the facility's basic organization.

It places services close to the users, thereby allowing decision-making in regard to planning, implementing, managing, and evaluating programs to be in the hands of those most knowledgeable about the resident population.

The Functional Unit concept fosters decentralized case management. This provides continuity of program responsibility by the treatment team, easier recognition of, and greater likelihood for, program assignment to meet the offender's needs. Program fragmentation (which traditionally occurs along department or disciplinary lines) is reduced; which, in turn, results in improved interpersonal relationships among staff members and between staff and residents. Under this organizational structure, those incarcerated receive better treatment, thereby improving their chances of being ready for earlier parole and making a more successful community adjustment.

The staff also benefits by becoming a more integral part of the treatment effort; additionally, they have their immediate supervisors in close proximity. These circumstances lead to greater cohesiveness and better morale.

Care--Functional Units lend themselves to differential allocation of resources. This permits more efficient management of available resources since money, manpower, and material can all be distributed in accord with program needs. That is, special physical facilities (e.g., maximum-security features) and specially trained staff can be optimally utilized with those offenders for whom they are most appropriate. Differing staffing patterns and types of housing can be established for other types of residents for whom the aforementioned features would be inappropriate.

Staff development is also encouraged by adopting the Functional Unit plan. The semiautonomous functioning of the Unit (treatment) Team which requires lower level staff members to plan, implement, and manage programs, provides an opportunity for these individuals to develop managerial skills. This allows for easier identification of training needs leading to better staff development.

Since all staff members become a more integral part of the Functional Unit's treatment plan, a greater organizational cohesiveness develops. Further, the close working relationship between line and supervisory staff fosters enthusiasm and better morale.

Control--The Functional Unit concept involves maintaining residents in small, independent treatment-relevant groups. This substantially reduces the amount of movement within the facility. Since transfers between units are discouraged, "problem cases" are not passed around. It also permits a more easily achieved physical control of residents since there is a closer working relationship between those incarcerated and the institution staff. The yield is a maximum effort from both groups toward achieving positive goals.

Maintaining control is also aided by the friendly rivalry which tends to develop between Functional Units. Both staff and residents come to feel a sense of pride in "their" unit and its accomplishments. Rather than offenders finding a common cause in organizing against the staff, competition develops along more desirable lines; e.g., which Unit has the

best record in achieving some positive goal. The resulting learning can be shared among units for the benefit of all.

#### Functional Units: Disadvantages

The group which most acutely feels the impact of the Functional Unit approach is management--particularly at the department head level. The roles of department heads change as traditional lines of authority are restructured. They need to develop or utilize new and different skills; such changes are often agonizing to undergo.

This change is reflected in a different set of responsibilities for department heads. Their role becomes one of monitoring policy implementation and maintaining performance standards across all of the institution's Functional Units. Other duties and responsibilities -are detailed below, but the main point is that some department heads may find their altered role much less satisfying.

The loss of a direct line of authority between the department head and "his people" is reflected in the different table of organization of a decentralized facility. The redesigning process can raise a number of problems for personnel, not only at the department head level, but also at the associate warden level. The redefining of areas of responsibility, the need to clarify vague supervisor-supervisee relationships, the role of the specialist vis a vis the generalist, the writing of new position descriptions and program designs and the implementation of new procedures, all pose difficulties for staff. Feelings of loss of authority or status may result in staff morale problems at the upper echelon level.

#### Functional Units: Types

It is possible to organize Functional Units around a variety of dimensions; these, then, become the core concept of the Unit's program and help identify selection criteria.

For example:

1. Problem area--drug treatment units, mental health, alcoholism, treatment units, etc.
2. Personality types--the I-level subtypes described by Warren, et al. (1971); Quay's (1972) Behavior Categories, etc.
3. Work/Training--grouping together of fenders programmed for work or academic training and/or integrating both vocational and educational training with an appropriately designed counseling program.

Implementation of the Functional Unit concept presupposes a "sorting out"



process (Admission and Orientation Program) which results in a meaningful assignment of residents to Unit programs. Thus, the classification procedure becomes a crucial diagnostic process--involving both staff and offender--attempting to "match" each resident with the most appropriate total program to meet his treatment needs.

Functional Unit: Structure

The concept of a Functional Unit is realized in direct correspondence to the degree that the offender's total correctional treatment plan is designed and implemented by a single, small, integrated group of staff members. This requires a multidisciplinary Unit Team, i.e., caseworkers, clerical support, correctional counselors, correctional officers, educators, and mental health personnel. Depending upon the number of staff and residents in the Functional Unit, an additional staff member--the unit manager--is needed.; he is a "generalist" and may be drawn from any of the fields represented on the Unit Team.

Figure I. --Functional Unit-Ideal Staffing Pattern

<u>Staff/Unit Size</u>	<u>50 Residents</u>	<u>100 Residents</u>
Unit Manager	a/	1
*Caseworker	1	2
Clerical	1	2
*Correctional Counselors	2	4
Correctional Officers	4+	4+
*Educators	1	2
*Mental Health	1	1

a/ One of the asterisked staff serves dual role as specialist and unit manager.

To a considerable degree, staff activities (next section) are dependent upon the manner in which Functional Units are integrated into the total institution. In a decentralized facility the unit managers function as program directors. As such, they are responsible for the total operation of their Unit and report directly to the office of the warden. The role of the department heads changes (see appropriate section below) to that of functioning in a coordinating role between the warden and the Functional Units and between Functional Units. Figures 2 and 3 represent different "model" tables of organization.

The table of organization shown in figure 2 has the department head functioning in a staff role rather than in a direct supervisory relationship. In this model, the associate warden for programs, AW(P), and the associate warden for operations, AW(O), play their traditional roles.

In figure 3 the unit managers as well as the program/training areas, (education, V.T., etc.) all report to a Program Management Committee--composed of five department heads<sup>1</sup>--which functions in the

role similar to that of an AW(P). The AW(O) continues to be responsible for coordinating support services throughout the facility in order that the treatment programs can function smoothly.

The within-Unit structure and its relationships need to be made explicit. Utilizing the staffing pattern for a 100-man Unit--figure 1--the administrative lines of authority are shown in figure 4.

Lines of administrative authority flow upward through the unit manager to the office of the warden (i.e., the AW(P) or the Program Management Committee). That is, members of the Unit staff are responsible to the unit manager. He, in turn, is responsible to the office of the warden. The department heads function in a staff role to the warden and have only an indirect relationship with the personnel in the Unit staff.

#### Functional Unit: Staff Activities

The staff members on the Unit Team are responsible for all aspects of residential program planning and monitoring. This includes initial orientation, admission evaluation, program assignment, implementation of the "in-Unit" treatment program (e.g., counseling, therapy, recreation, leisure-time activity, etc.), coordination and liaison with "out-of-Unit" activities, both formal and informal program and progress reviews, "promotions" and "demotions" (i.e., handling discipline), Parole Board recommendation, pre-release programming, and so on.

In addition, the Unit staff is accountable for the physical condition (i.e., sanitation, orderliness, etc.) of their living unit. They are also responsible for maintaining control in their Unit and for observing necessary security measures. In short, each Unit is comparable to a small institution which the staff in the Unit "run." Within the guidelines formulated by both the executive staff at the facility and those issued by the Central Office, the Unit staff are free and expected to formulate a treatment approach appropriate for their "type" of offender. This Unit program, in its initial form, is a written proposal subject to review by local executive-level administrators and approval by the Central Office, prior to its implementation.

The unit manager--The unit manager's function is to orchestrate the development and implementation of an effective treatment approach in his Unit. He is the administrative head of the Unit and, as such, the direct-line supervisor of staff assigned to the Unit Team. In addition to overseeing the within-Unit program, the Unit Manager has important liaison functions throughout the institution. In many ways, he functions in the traditional role of a department head, e.g., attending a variety of administrative meetings (budget, training, warden's staff, etc.), thereby "linking" his Unit into the total operation.

The manner in which manpower resources will be expended in the Functional Unit are the responsibility of the unit manager. In establishing work

Figure 2.--Functional Units in a Decentralized Facility

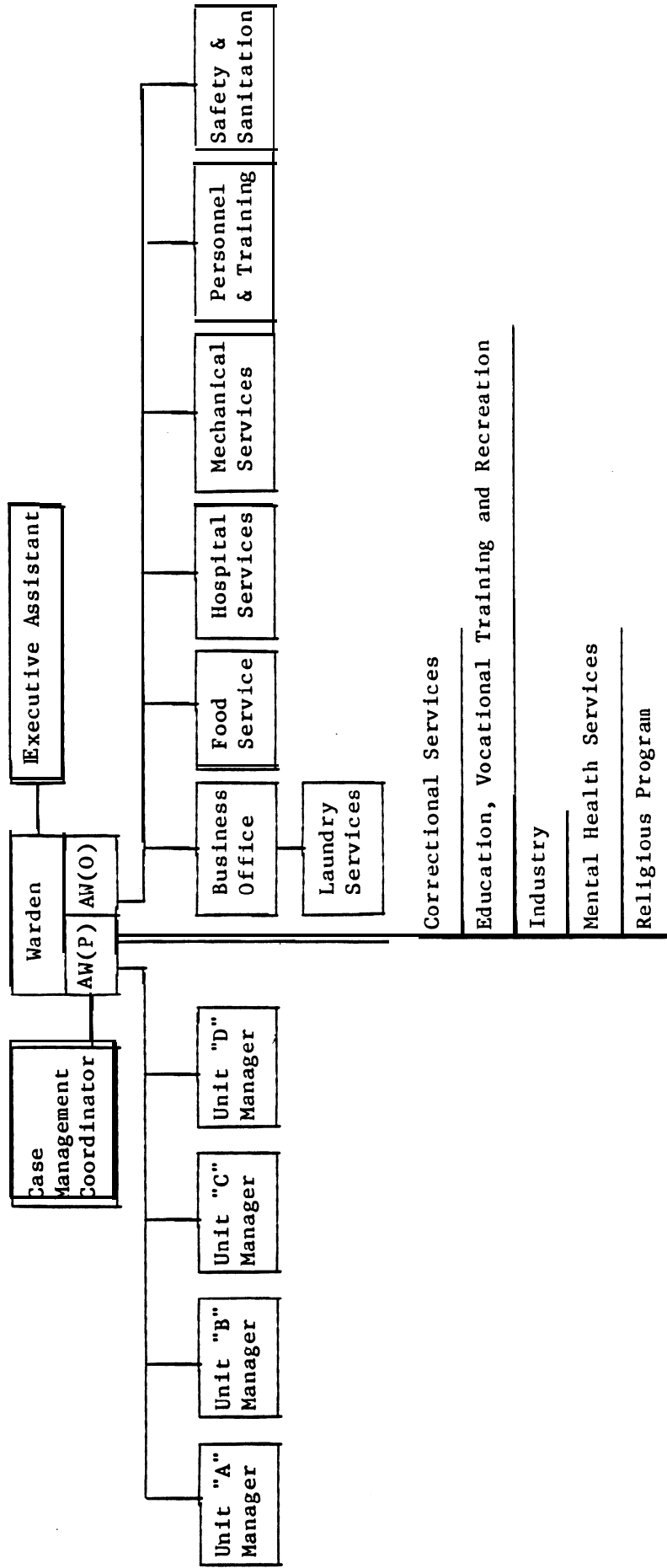


Figure 3.--Functional Units in a Decentralized Facility

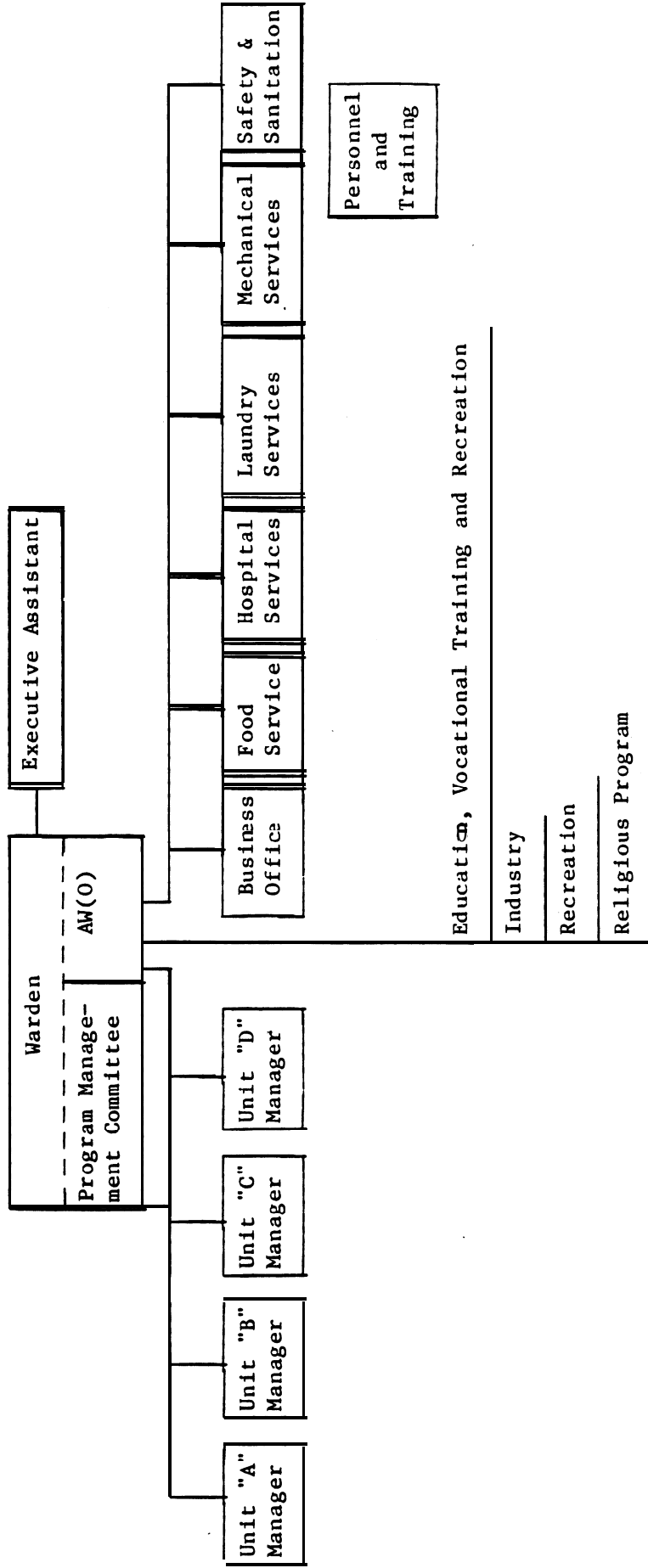
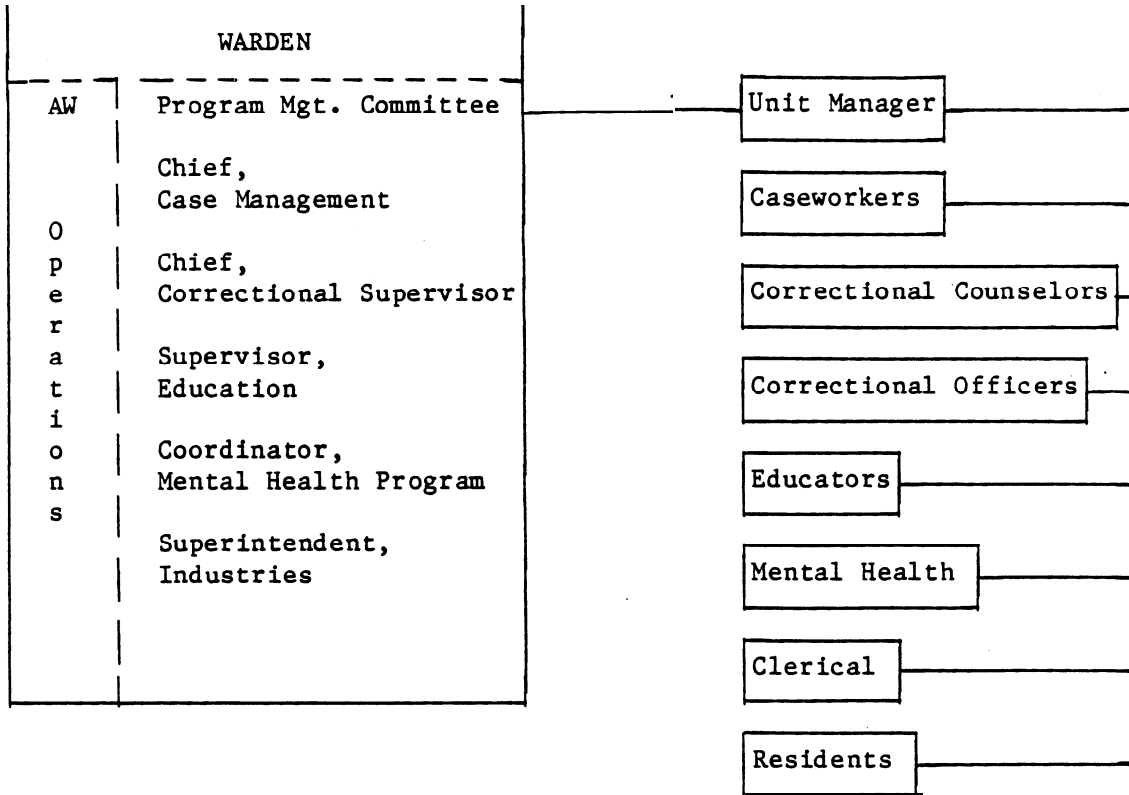


Figure 4.--Administrative Lines of Authority

Executive Level



Direct \_\_\_\_\_

Indirect - - - - -

schedules the unit manager should be guided by a number of operating principles: The purpose of the functional Unit is to find ways to best help offenders, not to set up the most convenient working schedules for the staff. Accordingly, staff should be on duty at those times when residents are most available, e.g., evenings and weekends. Further, since those who are incarcerated are in the institution all year, program activities should not cease during holiday season because all the staff have scheduled themselves for annual leave. It is the responsibility of the unit manager to see to it that staff are available to conduct programs on an extended "treatment day" basis throughout the year.

The unit manager is accountable for the program activities which occur in his Unit and should be knowledgeable concerning not only "what's happening" with residents, but with staff as well. It is his responsibility to recognize and remedy program deficiencies.. Accordingly, he must be knowledgeable about the treatment philosophy being implemented and capable of either providing himself, or seeing to it that others supply needed staff training. In order that he might be aware of his Unit's level of performance, the unit manager must place a high priority on the development and implementation of program assessment and monitoring methods. As a "mini-warden," accolades for conducting an effective Unit are his due as much as blame for program inefficiencies.

The caseworker-The caseworker's (and social worker's) responsibilities in a Functional Unit include all the traditional duties required to move an individual through a correctional institution. They include awareness of Central Office policies, possessing the technical expertise to assess correctness of reports, knowledge about Parole Board procedures and the legalities involved, etc. In addition, since caseloads are small, the caseworker takes an active role in direct treatment intervention. That is, he or she will not only function as a full-fledged member of the Unit Team in all aspects of the programming process as it relates to residents on his caseload, but he will also conduct counseling sessions or whatever other treatment modalities make up the Unit's therapeutic approach.

The correctional counselor-The correctional counselor serves as a crucial member of the Unit's treatment team. He becomes the prime contact between his small group of 25 residents and the rest of the Unit and the institution. His role includes being a direct implementer of the agreed-upon treatment modalities, a fully functioning member of the Unit Team, a liaison between outside-the-Unit activities (e.g., work assignment) and their implications for the Unit Team, an organizer and/or monitor of recreation and leisure-time activities, and so on. In general, he will have the most immediate, prolonged and intensive relationship with many of the Unit's residents, of any member on the Unit staff. Therefore, he needs training and orientation in the Unit's philosophy and methods of treatment implementation. His supervision is the responsibility of the unit manager in consultation with the chief correctional supervisor; his training is the responsibility of the Unit Staff, other institution personnel, and outside consultants with whom the Unit contracts. It is the responsibility of the unit manager to see to it that these staff members receive training in the skills required to

conduct the Unit's program. He must also be the responsible individual to insure that the correctional counselor's skills are utilized appropriately and that the latter not become the "ever-ready" substitute to fill in for absentee staff in other institutional areas.

The correctional officer--The correctional officer has the prime role in maintaining security controls in accord with established policies and consistent with the therapeutic nature of the Functional Unit's program. His is the most difficult and least recognized function in any correctional treatment program; yet he is among the most influential in setting the "tone" present in the Functional Unit. Because of his day-to-day interaction with the Unit's residents, he becomes a central figure in the establishment and efficient functioning of the "therapeutic community." Therefore, he needs to be oriented to the mission and goals of the Unit; he should be an active participant in Unit activities; and he should be viewed as a valuable contributor to the Unit Team of - information about an offender's level of progress. In view of the correctional officer's important role in the Functional Unit, care must be exercised to insure that shift rotation is conducted in such a manner that it is not disruptive to program integrity. That is, an orderly, consistent pattern of correctional officer rotation should be established (e.g., relief, morning, day, evening). Every opportunity should be taken to rotate officers within the Unit rather than from a day shift in Unit "A" to the evening shift in Unit "B." Promotion opportunities exist in the direction of either moving up the correctional officer's career ladder or moving into the counselor/unit manager sequence.

The educator--The role of the educator (academic or vocational training instructor) in a Functional Unit has two major focuses: (1) To function as an education/vocational training guidance counselor-40 percent of his time; (2) To monitor and/or conduct academic or vocational training, ideally within the Unit, but more likely in a central school or VT shops building-60 percent of his time. In addition, he is a full member of the Unit Team and a contributor to this group of information relevant for program assignment. Depending upon the specific needs of the Unit's residents, it is the educator's responsibility to recommend training alternatives in order to help each individual reach goals mutually agreed upon in collaboration with the Unit Team. He may also be required to develop special "classes" which provide the Unit residents with information of relevance to the intent of the Functional Unit's program (e.g. "The Social, Psychological, and Physical Effects of Alcoholism" for an alcoholism treatment unit).

The mental health staff member--The mental health staff member (psychiatrist , psychologist, psychiatric nurse) on the Unit Team has a multi-faceted role. He is expected to be involved in the admission and information gathering process prior to classification; he is a member of the decision-making Unit Team; he monitors, supervises, and/or conducts therapeutic sessions; he serves as a consultant and trainer for other staff members; and he helps to design and implement program evaluation studies. As with other staff, the mental health worker plays a significant role in the development of the Functional Unit's treatment

program. He is expected to become a member of the Team in every sense; his activities should be well integrated into the Team's functioning in order that the Functional Unit operate as efficiently and effectively as possible.

If there are too few mental health personnel so that the staff pattern in figure 1 cannot be adhered to, an alternative structure has the mental health staff serve in a consultative role to the Functional Units. Under these conditions, mental health remains centralized and functions more in a staff role. However, to the extent possible, available mental health staff resources should be "assigned" to a specific unit even though each staff member may cover two or more Units.

Clerical help--Clerical support is critical to the operation of a Functional Unit. Not only is there a high correlation between the smooth flow of paper and an effectively functioning Unit, but delays, and disruptions in this area have marked negative influence on the therapeutic effort, and staff and resident morale. Further, the need to document program activities and accomplishments, to describe the Functional Unit's program, to prepare brochures to help orient new staff, and to type articles and studies for publication, all argue for capable and adequate clerical support. Message-taking, intra- and interunit communication, and administrative functions such as budgeting, timekeeping, etc., all become clerical functions without which the Unit flounders. Further, by including these staff members in training activities, they can become additional treatment resources with the Unit.

The residents--The residents are the raison d'etre of Functional Units. Whether they are referred to as prisoners, inmates, residents, or students, the purpose of the functional Unit is to provide better, more intensive, more appropriate, and more effective methods to help them cope more successfully with the problems of living following their release. In achieving this end, programs must be designed which recognize the humanness of those they plan to help. Offenders must be involved in decisions which significantly affect them. Ways must be found to offer opportunities for Unit residents to take intramural roles of increasing responsibility both for their own activities, as well as for the smooth functioning of the Unit. In the area of decision making, as it relates to a particular individual, he should be viewed as a member of the Unit team and have a voice in program decisions affecting him. The "climate" of the Functional Unit should convey a clear respect for the dignity and uniqueness of each of those entrusted to its care.

#### The Department Heads' Role

In a totally decentralized institution--one comprised entirely of Functional Units--the activities of department heads must, of necessity, change. As indicated in figure 4, they no longer have a line-authority relationship with "their people" in the Units. Their function becomes one of a staff role and resource person to both the warden and the unit managers.



As individuals, the department heads consult with and monitor the performance of Unit staff members from their area of expertise. Coordination between Functional Units is their prime area of concern; monitoring adherence to policy and standards is of almost equal importance.

Under one model the department heads<sup>2</sup> could function as a Program Management Committee. In this capacity they operate as: an "appeals board" to review Unit Team decisions; as a policy-recommending, standards-developing group; as an Advisory Council on Treatment; as the Warden's Advisory Research Committee; as a Special Projects Task Force, etc. Either a permanent or rotating chairman of the Program Management committee could be appointed by the warden.

One of the dangers in a decentralized facility is that the Functional Units may become totally "out of step" with one another, so that the institution appears to be headed in all directions at the same time. The Program Management Committee, therefore, should meet regularly with the unit managers, thereby bringing a broader perspective to program implementation. Despite the change in their role, department heads still have the responsibility to monitor staff activities in their area of expertise, to see to it that standards are maintained and policies adhered to. The warden can expect them to maintain high quality programs, to handle staff problems, and to keep him fully informed.

In those instances where some programmatic areas remain centralized (e.g., vocational training) the department head may function to some degree in the more traditional model; however, even here he will share with the unit manager some of his former authority (e.g., rating VT instructors who also function as part of a Unit Team).

#### The Nondecentralized Functions

Up to this point, the article has dealt almost exclusively with those aspects of institutional functioning which are most directly affected by the Functional Unit concept. There remain a number of areas which function much in the same fashion as in a centralized facility. The Business Office, Food Service, Health Services, Laundry, Mechanical Services, Personnel and Training, and Safety and Sanitation, are not significantly affected by this change in organizational structure.

Perhaps the greatest change affects the Correctional Services. In effect, three different areas emerge: the correctional counselors (based in the Units and closely tied to the unit manager); the living quarters correctional officers (based in the Units but more closely tied to the Correctional Services Department), and security officers (based outside the Units and closely tied to the Correctional Services Department). Security operations refer to manning towers, operating the control room, inside patrol, etc. These are characterized by having almost no direct contact with inmates. A second type of security function does have inmate-contact involved--e.g., detail. officer; hospital, kitchen, or

school officer. Assignments to these latter areas could be distributed among the Units with the number of correctional officers attached to the Units being increased; rotation through these outside-the-unit situations, then, becomes part of the regular correctional officer rotation sequence.

Thus, the corrections force is required to function in a variety of ways and lines of authority may not always be clear. Care has to be taken to explicate how these separate, but equally important functions will be smoothly integrated, a problem similar to that faced in the dual role played by the education staff.

### Evaluation

In any undertaking there needs to be a built-in feedback or evaluation system so that both those conducting the program, as well as those overseeing its operation, have data concerning its level of accomplishment. The development and implementation of assessment methods should be an integral part of a Functional Unit Program Plan.

The Unit Program Plans can become part of a total Master Program Plan for the entire facility. This document details the correctional philosophy, mission, goals and objectives of the total institution in an attempt to describe what a particular institution is trying to accomplish and how all its components contribute towards those ends. Included in the Master Plan is a measurement and/or evaluation system so that periodic program reports can be assembled which will provide information regarding the degree to which the facility is meeting its stated objectives. It is the unit manager's responsibility to accord program evaluation high priority in the total activities of his program. While he, himself, may not be knowledgeable in the design of evaluation techniques, such expertise should be accessible either on his own staff or through contracting with appropriate consultants.

### Conclusion

The foregoing represents an attempt to describe the concept of a Functional Unit in operational terms. Since the experience of the Bureau of Prisons with this type of Unit (and particularly with totally decentralized institutions) is very short, these ideas will no doubt undergo growth and continuing development. This article will have served its purpose to the degree that it provides all concerned with a common frame of reference in discussions about Functional Units, and to the degree that it exposes others to a different approach in the delivery of effective correctional treatment services to incarcerated offenders.

#### FOOTNOTES

1. The five department heads which comprise the Program Management Committee are: chief of case management, chief correctional supervisor, supervisor of education, superintendent of industries, and coordinator of mental health programs.
2. The department heads referred to are chief, case management (or chief, C & P); chief, correctional services; coordinator, mental health programs; superintendent, industries; supervisor, education and vocational training.

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## UNIT MANAGEMENT MANUAL

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5090 RATING AND REVIEWING UNIT STAFF

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APPENDIX

I Unit Admission and Orientation Programs  
II Unit Staff Orientation  
III Guidelines and format for a Unit Plan

5000.

OVERVIEW OF UNIT MANAGEMENT

Unit Management is a new approach to correctional management in the Federal Prison System. This decentralized management approach is now being fully used in thirty one of the thirty eight Federal institutions. There are at least one or more units in each institutions with the exception of one penitentiary and some of the Federal Prison Camps.- Thus far, evaluations strongly suggest that this approach to inmate management is more humane, effective and efficient than the former, centralized approach.

5006.

DEFINITION OF UNIT

A Unit is a small, self-contained inmate living and staff office area, which operates semi-autonomously within the confines of the larger institution.

The essential components of a unit are:

1. A small number of inmates (59-250) who are permanently assigned together;
2. A multi-disciplinary staff (Unit Manager, Case Manager(s), Correctional Counselor(s), full or part-time Psychologist, Part-Time Education Representative, and Clerk-Typist and Correctional Officers whose offices are located within or adjacent to the inmate housing unit; and are assigned to work with the inmates of that unit;
3. The Unit Manager has administrative authority and supervisory responsibility for the unit staff;
4. The Unit Staff has administrative authority for all within-unit aspects of inmate living and programing;
5. The assignment of an inmate to a unit may be based on age, prior record, specific behavior typologies, a need for specific type of correctional program such as drug abuse counseling, sentence or on random assignment basis.
6. All unit staff are scheduled by the Unit Manager to be working in the unit evenings and weekends, in addition to the presence of the Unit Correctional Officer.

5007.

GOALS OF UNIT MANAGEMENT

Unit Management is an approach to inmate and institutional management designed to improve control and relationships by dividing the larger institution population into smaller, more manageable groups. Unit Management is also designed to improve the delivery of correctional services. This is directly related to two major goals of the Federal Prison System:

1. to establish a safe, humane environment which minimizes the detrimental effects of confinement and;
2. to provide a variety of counseling, social educational and vocational training opportunities and programs which are most likely to aid inmates in their successful return to the community.

5008.

ADVANTAGES OF UNIT MANAGEMENT

The advantages of the unit approach to correctional management are:

1. It divides a large numbers of inmates into small, well defined and manageable groups, whose members develop a common identity and close association with each other and their unit staff.
2. It increases the frequency of contacts and the intensity of the relationship between staff and inmates, resulting in:
  - a. better communication and understanding between individuals
  - b. more individualized classification and program planning
  - c. more valuable program reviews and program adjustments
  - d. better observation of inmates, enabling early detection of problems before they reach critical proportions
  - e. development of common goals which encourage positive unit cohesiveness, and
  - f. generally, a more positive living and work atmosphere for staff and inmates
  - g. provide more efficient accountability and control of inmates
3. The multidisciplinary unit staff member's varied backgrounds and differ areas of expertise enhances communication and cooperation with other institution departments.
4. Staff involvement in the correctional process and decision-making opportunities are increased, further developing the correctional and management skills of the staff.

5008.

**ADVANTAGES OF UNIT MANAGEMENT (Continued)**

5. **Decisions are made by the unit staff who are most closely associated with the inmates, increasing the quality and swiftness of decision-making.**
6. **Program flexibility is increased, since special areas of emphasis can be developed to meet the needs of the inmates in each unit; programs for a unit may be changed without affecting the total institution.**

**Each of these advantages provides an enriched atmosphere in which inmates are more likely to prepare for a successful adjustment in the community.**



Unit Management is the result of many independent developments over twenty years, in the Federal Prison System. Twenty-five years ago in the Federal Prison System's institutions, a new inmate appeared before a group of department heads called a Classification Committee. Here he was informed of the programs and work in which he would be involved during his incarceration. Generally, he had little input into the decisions. This procedure was an improvement over the previous practice of having a single staff member serve as the Classification Officer for the institution's total inmate population.

During the mid- and late 1950's, the Federal Reformatory at El Reno, Oklahoma, and the Federal Youth Center in Ashland, Kentucky, developed separate Classification Teams for each caseload. In the early 1960's, the Demonstration Counseling Project was initiated at the National Training School for Boys (NTS) in Washington, D.C. A caseload of inmates was gathered together in one housing unit, and an interdisciplinary staff was selected to implement a counseling and recreational program. This early, abbreviated version of unit management was successful, and as a result, the entire institution was reorganized according to this model.

In 1963, the Englewood, Colorado Federal Youth Center established what was called a "unit system". This featured "Unit Officers" in addition to the traditional Correctional Officers assigned to the inmate living unit. Each Unit Officer worked with a Caseworker, who maintained an office in the inmate housing unit where inmates on their caseload were assigned. The Classification Teams were composed of one department head, the Case-Manager and the Unit Officer.

The "DAP" units' staffing pattern is considered the "ideal" for all functional units. It includes a Unit Manager, 2 Psychologists, two Case Managers, four Correctional Counselors, one Secretary, one Education Representative, and round-the-clock Unit Correctional officer coverage, for each 100 inmates. The many program ingredients which these specialized units developed have served as prototypes for many current units throughout the Federal Prison System.

The Robert F. Kennedy Youth Center at Morgantown, West Virginia, was opened in 1969, and it was designed and operated according to a slightly modified Unit Management concept. This included a specific inmate classification System (Quay Typology), with different management and treatment strategies applied to the different groups of inmates.

As a result of the Narcotic Addict Rehabilitation Act of 1966, in 1968, the Bureau of Prisons' first Drug Abuse Programs were established at Federal Correctional Institutions at Terminal Island, California; Danbury, Connecticut; and Alderson, West Virginia. 1 Soon additional "NARA" and Drug Abuse Programs (DAP) were established in other institutions.

Generally, these specialized drug abuse programs operated as units within institutions with centralized management. Their operational success encouraged the further development of the decentralized unit concept of correctional management.

In 1972, Unit Management was established at the Federal Correctional Institutions at Fort Worth and Seagoville, Texas. The positive experience at these two institutions, combined with the favorable results of previously established unit programs led to the Central Office decision to further expand the unit approach to correctional management throughout the Federal Prison System.

Penitentiaries were the last of the major institutions to implement Unit Management. This was primarily due to problems related to physical structure, staffing and population. The fact that early Unit Management's major emphasis was on program delivery, which was not a high priority in penitentiaries also slowed the movement of these facilities into Unit Management.

After a series of assaults and incidents of violence occurred in several of our larger penitentiaries, and at the recommendations of Board of Inquiries and Investigative Teams, Executive Staff approved the implementation of Unit Management in penitentiaries. The first penitentiary approved for Unit Management was Lewisburg in 1975. Terre Haute implemented Unit Management in 1977, followed by Atlanta in 1978 and Leavenworth and McNeil Island in 1979. At this writing, Marion is the only remaining major institution in the Federal Prison System that has not been fully unitized.

The Administration of Unit Management was brought together with the formation of the Unit Management Section in the Central Office in November, 1974. At that time Unit management was placed under the Assistant Director for Training. In May, 1975, Unit Management was moved from this division to the Correctional Programs Division. In late 1975, some of the responsibilities for coordination of Unit Management were moved to the Regions, and placed under the Administrator for Case Management. However, after a short while, Unit Management was again re-centralized.

In January of 1977, a position paper was written for the Executive Staff with a proposal that Unit Management be regionalized. The Executive Staff approved this proposal and a Unit Management Administrator for each Regional was selected. The first Unit Management Administrator assumed the responsibilities for unit Management in the Region in May, and regionalization was established throughout the Federal Prison System in Unit Management by September, 1977.

Because of the many overlapping areas in Unit Management and Case Management, in late 1979, Unit Management and Case Management in the Regional and Central Office were consolidated under the title of Correctional Programs. The Correctional Programs Section is headed by an Administrator and an Assistant whose responsibilities are for Unit and Case Management.

Regional Administrators have basic responsibility for implementation, monitoring and staff assistance of Unit Management in their regions. The Central Office provides funding and resource support, policy development, coordination of training, and liaison between Central Office and Regional Administrators.

**RESEARCH AND EVALUATION**

As discussed in the INTRODUCTION of this manual, it is believed that there are numerous advantages to Unit Management in correctional institutions, when compared to the traditional, centralized management approach. The Office of Research, Central Office and the Regional Research Coordinators, are conducting ongoing evaluative studies of this management concept.

Findings suggest that numerous positive results exist in institutions where Unit Management has been implemented. The Correctional Programs Section in the Central Office has a coordinating role regarding evaluative efforts and works with the Office of Research. Primary responsibility for coordination of research on the local level is with the Regional Correctional Programs Administrator and the Regional Research Coordinator. Institutions' desiring to initiate evaluative projects are to coordinate their proposals through the Regional Research Coordinator and the Administrator for Correctional Programs in the Region. Prior approval by the Director of all Research projects is required by Federal Prison System Program Statements. Similar copies of all research done on Unit Management and individual units should be forwarded to the Regional Research Coordinator and Correctional Program Administrator and a copy to the Correctional Programs Administrator, and the Research Office in the Central Office. Program Statement 1070.1, provides further information on the criteria for conducting research.

In addition to Research Projects on Unit Management, it is imperative that data on Unit Management be collected. A systematic data collection system will be utilized, e. g., Inmate Program Reporting System

UNIT STAFFING PATTERNS

The Federal Prison System has determined guidelines for-unit staffing patterns:

50-80 Inmate General Units:

1 Unit Manager  
 1 Case Manager  
 2 Correctional Counselors  
 1 Clerk-Typist  
 1/2 Psychologist  
 1/5 Educational Representative  
 Correctional Officers (3 Shifts per day, 7 days per week)

80-120 Inmate General Units:

1 Unit Manager  
 2 Case Managers  
 4 Correctional Counselors  
 1 Clerk-Typist  
 1/2 Psychologist  
 1/5 Educational Representative  
 Correctional Officers (3 Shifts per day, 7 days per week)

50-75 Inmate Specialized Units:

1 Unit Manager  
 1 Case Manager  
 2 Correctional Counselors  
 1 Clerk-Typist  
 1 Psychologist  
 1/5 Educational Representative  
 Correctional Officers (3 Shifts per day, 7 days per week)

1 76-120 Inmate Specialized Units:

1 Unit Manager  
 2 Case managers  
 3 Correctional Counselors  
 1 Clerk-Typist  
 1 Psychologist  
 1/5 Education Representative  
 Correctional Officers (3 Shifts per day, 7 days per week)

\*Comprehensive Health, Psychiatric and Medical Units will be staffed as directed by their respective Regional Office. Youth Corrections Act units will be staffed in accordance with Program Statement 5215.2, "YCA Units at Designated Institutions." Drug Abuse units will be staffed in accordance with Program Statement 5330.5, "Drug Abuse Incare Manual".

5020.

STAFF ROLES IN UNIT MANAGEMENT

Unit Management brings about the alteration of numerous traditional staff roles and creates several new ones. The most obvious new role is that of the Unit Manager. This person is responsible for implementing a program within the unit which provides responsible staff supervision and inmate decision-making authority.

This chapter will broadly define roles of many staff who are directly related to Unit Management. It is by no means exhaustive or conclusive. It attempts, generally, rather than specifically, to describe how various key personnel interact where Unit Management is utilized. It provides general guidelines permitting more specific definitions to be developed based upon local needs.

5021.

CENTRAL AND REGIONAL OFFICE ROLES

Administration of Unit Management is a shared responsibility involving both Central and Regional Office Administrators. The orderly development, implementation, and maintaining of this management concept is of vital importance. The responsibilities which fall to each of these administrative offices are outlined below.

CENTRAL OFFICE

Correctional Programs is a section of the Correctional Management Branch. Close coordination with Correctional Services Sections of the branch is necessary to assure that the Unit Management concept is clearly understood and developed. The following responsibilities are designated to the Correctional Programs Administrator, Central Office:

1. Coordinating the Unit Manager Training Program for all newly appointed Unit Managers; development of advanced training for Unit Managers.
2. Coordinating research and evaluation efforts of Unit Management with the Research Section in the Central Office.
3. Developing policy for Unit Management throughout the Federal Prison System.
4. Providing technical assistance to Correctional Programs Administrators in the Regional Offices.
5. Monitoring the development and implementation of Unit Management throughout the Federal Prison System through close contact with Regional Administrators, comparative data collection, and periodic visits to the field.

5021.                    CENTRAL AND REGIONAL OFFICE ROLES (Continued)

6.    Assisting Regional Office Administrators with Regional Training Projects and Staff Assistance visits, and problem areas.
7.    Budget/Financial planning responsibilities for Unit Management and Drug Abuse/Alcohol Program.
8.    Technical Assistance to State and local Correctional Departments.
9.    Development of policy and guidelines for the Drug Abuse/Alcohol Program of the Bureau.

REGIONAL OFFICE

The Regional Correctional Programs Administrator has the responsibility to promote and assure that Unit Management is operationalized throughout the Region. This person works closely under the guidance of the Regional Director in interpreting and monitoring the progress of Unit Management. The Regional Administrator maintains coordination and contact with Correctional Services and other Regional counterparts to assure operational consistency and understanding throughout the Region.

1.    Conducting management assistance audits and visits of Unit Management in all institutions in the region.
2.    Coordinating research and evaluation efforts with the Research Coordinator in the region.
3.    Administration of Drug Abuse/Alcohol Programs in the Region.
- 41    Assisting with the Unit Manager Training Program for newly appointed Unit Managers.
- 51    Providing input in the development of policy regarding Unit Management.
6.    Establishing a monitoring system, and data collection system for Unit Management at the regional level.
7.    Maintaining close working relationships with Correctional Services and other regional specialist.
8.    Development of Unit Management in new institutions.
9.    Budget/Financial\ Responsibilities for Unit Management.
- 101    Technical Assistance to State and Local Correctional Departments.

Regional and Central Office Correctional Programs Administrators will meet periodically to review the direction of Unit Management throughout the Federal Prison System.

5022.

THE INSTITUTION ADMINISTRATION AND UNIT MANAGEMENT

Unit Management results in much of the decision-making authority which was previously centralized or the responsibility of other departments, being delegated to Unit Managers. At the same time, the institution administration continues to be ultimately responsible for the proper running of the institution. Therefore, ongoing dialogue between the Unit Managers and the administration is essential.

Unit Managers will serve as consultants to the administration in inmate management matters. By frequent monitoring of unit operations, and regularly scheduled meetings which include the Unit Managers, other concerned Department Heads, and the administration, a high level of communication and understanding may be achieved.

5023.

WARDEN

The unit approach to correctional management has not altered the fact that the Chief Executive Officer of the institution retains final authority and responsibility for all matters occurring with the institution.

With Unit Management, there is a delegation of decision-making responsibility for most aspects of inmate services and programs to unit staff. This will include much of the case management, security, sanitation, maintenance, and other routine operational responsibilities.

In an institution with Unit Management, the Chief Executive Officer will usually delegate supervisory and monitoring responsibilities for units to the Associate Warden.

5024.

ASSOCIATE WARDEN

As noted previously, the decentralizing of correctional institutions delegates much decision-making responsibility to Unit Managers. Since the administration retains ultimate responsibility for all matters, the Associate Warden should have the expertise to understand and monitor the units, to insure consistency in addition to quality programs and operations. The Associate Warden will also make certain that authority and responsibility which has been delegated to the units is effectively managed.

The Associate Warden is the immediate supervisor of Unit Managers and the primary liaison between them and the Warden.

Guidelines, dissemination of policy and parameters within which the units are to work shall be set forth as part of the leadership responsibilities of the Associate Warden to assure that the philosophy and policy of the Federal Prison System is adhered to and the total mission of the institution is accomplished.

5025.

CASE MANAGEMENT SPECIALIST

The Case Management Specialist is a resource person for the administration and staff in Case Management related areas. The Case Management Specialist provides technical assistance with respect to training of Case Managers and Unit Secretaries through regularly scheduled meetings to insure consistency in Case Management functions.

As a resource person for the Associate Warden (Programs) the Case Management Specialist assures quality control in Case Management by review of study cases, transfer requests, and all official correspondence emanating from the units for the Warden's signature. Case Management Specialist will also assist Unit Managers and other staff in conducting Case Management/Unit Management internal audits.

As a resource person to the unit, the Case Management Specialist has no supervisory responsibility for unit staff.

5026.

CHIEF CORRECTIONAL SUPERVISOR

The Chief Correctional Supervisor is the Department Head whose primary responsibility is the security of the institution. With the unit approach to correctional management, some of this responsibility is delegated to Unit Managers and their staff.

The Chief Correctional Supervisor serves as an advisor, consultant, and monitor for Unit Managers in matters pertaining to the unit security. either the Chief Correctional Supervisor or the Unit Managers will initiate contacts as the need arises. The Unit Managers and Chief Correctional Supervisor are expected to maintain a cooperative working relationship, especially since they have areas of responsibility which overlap;

When there is a question regarding security matters which affect the unit and the institution, the Chief Correctional Supervisor will have final authority. Whenever possible, decisions concerning emergency matters regarding a unit should be made jointly by the Unit Manager and Chief Correctional Supervisor. Combining the technical expertise of the Chief Correctional Supervisor with the Unit Manager's first-hand knowledge of his unit, will enhance the quality of decision-making.

5027.

CORRECTIONAL SUPERVISOR

The Correctional Supervisors have delegated authority for institution security matters in the absence of the Chief Correctional Supervisor.

This person serves as an advisor, consultant, and monitor for Unit Managers in matters pertaining to unit security.

While there will be variations between institution, routine operational matters require that the Correctional Supervisors and unit staff work together to assure the highest quality communications and decision-making.



5028.

UNIT MANAGER

The Unit Manager is the administrator and supervisor of a multi-disciplinary team of staff members who are assigned to work in the unit. As a department head, the Unit Managers will assume their share of responsibilities, including participation on institution committees, promotion boards, serving as duty officer, and other related administrative functions.

The Unit Managers have responsibility for all matters pertaining to their units. These will include Case Management, Security, Correctional Programs, Safety, Sanitation, and Financial Management. This person has ultimate responsibility for developing and monitoring a stringent inmate file accountability practices, file checkout procedures, and file security operations. The Unit Manager serves as an ongoing advisor to the administration in matters pertaining to inmate management and programs.

The Unit Manager is responsible for all activity within the unit. In matters of security, the Chief Correctional Supervisor and Unit Manager should consult and use the expertise of both to attain adequate security measures. There are other department heads whose expertise can be utilized to develop and maintain other types of programs and procedures. A cooperative relationship among the Unit Managers and other department heads will insure an effective unit operation.

5029.

CASE MANAGER

The Case Manager is directly responsible to the unit Manager and has major responsibility for Case Management matters within the unit. With other unit staff, the Case Manager will assist with unit inmates, and participate in other unit operations as directed by the Unit Manager.

Supervision, training, and technical assistance for the unit Case Manager is the responsibility of the Unit Manager. The responsibility cannot be delegated to another department head but another person such as the Case Management Specialist or Senior Case Manager, may be utilized by the Unit Manager to assist with the training and technical development of the Case Manager. The amount of Case Management technical assistance required by each unit may be related to the level of Case Management expertise which the Unit Manager and Case Manager possess.

5030.

CORRECTIONAL COUNSELOR

**The Correctional Counselor's work is scheduled by the Unit Manager and counselors should not be removed from work assignments by other institution staff without consultation with, and permission from the Unit Manager. Emergency situations such as escapes, riots, are exceptions.**

In institutions where there are a reduced number of Correctional Officers assigned to units and a shift is not covered, unit staff may be delegated the direct responsibility for unit security by the administration. When that occurs, it is expected that the scheduling of hours and responsibilities will not be disproportionately assigned to Correctional Counselors.

**The Correctional Counselor's primary responsibility is the counseling of assigned unit inmates. This may include formal) unplanned counseling and format group and/or individual counseling. Other duties will be designated by the Unit Manager. However, it is expected that counseling and being directly available to the unit inmates will consume the majority of the Correctional Counselor's time. Federal Prison System Program Statement 5323.1, "Correctional Counseling", dated 9/19/77, outlines in more detail the role and responsibilities of the Correctional Counselor.**

5031.

UNIT SECRETARY

**Each unit will have one Secretary assigned to the unit, under the supervision of the Unit Manager. This person is permanently assigned to the unit, and the duties are chiefly those of clerical/secretarial nature. Unit Managers may elect to broaden the Secretary's duties to informal or formal counseling, participation in Unit Team Meetings, or Unit Disciplinary Committee Meetings when these duties are within the scope of the Position Description, and do not conflict with his/her primary clerical responsibilities. The Unit Secretary under the direction of the Unit Manager has responsibilities for daily file accountability, file maintenance, and monitoring of strict file check-out procedures.**

**The Unit Secretary may receive additional training from additional sources as determined by the Unit Manager.**

5032.

UNIT CORRECTIONAL OFFICERS

A Correctional Officer assigned to a unit has a post with unique training opportunities and responsibilities. The first responsibilities are the inmate's accountability and security of the unit. All other duties will vary between units and institutions and are to be considered secondary. The Unit Correctional Officer is the first-line consultant to the unit staff regarding security matters which affect the unit and institution.

Security matters affecting the unit should be brought to the attention of the Unit Manager by the Correctional Officer, who in turn will confer with the Chief Correctional Supervisor. In the absence of the Unit Manager, the Operations Correctional Supervisor will be notified for appropriate action.

The Unit Correctional Officer should become involved in the program operations of the unit. Unit Managers are expected to facilitate this participation for Correctional officers assigned to their unit. Permanently assigned unit staff members will maintain a working atmosphere encouraging the Unit Correctional Officer's maximum input as an important member of the unit staff.

5033.

UNIT EDUCATION ADVISOR/REPRESENTATIVE

The Education Advisor is the Unit Team's consultant in all education matters, and this person normally will be a permanent member of the Unit Team. This person sees that all of the unit inmates are properly tested and informed of available education opportunities. The Education-Representative may also be responsible for monitoring and evaluating unit inmates in education programs, and will provide counseling in education matters as needed.

5034.

UNIT PSYCHOLOGIST

This person is generally responsible for the performance of diagnostic, therapeutic, research, educational and evaluative functions relating to psychological services. This individual plans, organizes, participates in and provides professional expertise for unit counseling programs. This function includes the assessment of inmate needs and the design of corresponding programs to meet those needs.

The Unit Psychologist may provide supervision and training for Students and interns.

This individual is under the general supervision of the Unit Manager. The extent of services provided will be dependant upon whether the psychologist is assigned to the unit on a full or part-time basis.

5035.

UNIT RELIGIOUS REPRESENTATIVE

It is recommended **that** institutions provide each unit with a **part-time staff** member, consultant **or volunteer from the Chaplain's Office. This representative** will be a consultant **to unit** staff and **inmates** on religious matters, and could also have a role **in unit programs. Primary supervision** of the Religious **Representative** would be **the responsibility of the Chaplain's Office.**

5040.

## CORRECTIONAL PROGRAM IN UNITS

### INTRODUCTION

This section includes a variety of correctional programs which are currently being used in units throughout the Federal Prison System. Program needs will vary from unit to unit, and at different times within the same unit. It is each Unit Manager's responsibility to monitor and update unit programs to insure their relevancy to the unit inmates.

No specific program approach is endorsed or required. However, it is expected Unit Managers will offer programs to meet the needs of their assigned inmates. Appropriate counseling, for instance, will be provided for interested inmates. How that need is fulfilled, is the option and responsibility of each Unit Manager.

A primary expectation of Unit Management is achieving and maintaining quality communications between staff and inmates. Some Unit Managers choose to use Town Hall Meetings to help in this area. What is expected is that each unit will continue a high level of communication; the selection of the method is each Unit Manager's choice.

Each of one programs mentioned in this chapter have been satisfactorily used in many units. The list is not exhaustive. However, it does provide guidelines and standards which should be maintained.

5041 1

### CORRECTIONAL COUNSELING

The unit team and inmate should determine the need and establish the purpose of the correctional counseling sessions. Correctional counseling can focus on such problems as developing good work habits, learning to communicate and get along with others, being responsible, coping with stress, occupational development, self-control, etc.

Correctional counseling must be formalized. Correctional counseling refers to guidance provided by correctional counselors specifically assigned to provide such contact on a specified time basis (minimum once a week). Correctional counseling may be either individual or group. In any case, when this type of counseling has been programmed by the unit team, enrollment and completion forms (BP-6.2) will be completed by the correctional counselor.

Program Statement 5300.6, Inmate Programs Reporting System, should be referenced for definition and reporting procedures.

5042.

#### GROUP COUNSELING

It is the philosophy of the Federal Prison System that Inmates have the opportunity to participate in programs to improve their emotional and physical well-being. Group counseling can assist motivated inmates in developing an increased understanding of themselves, resolve inter-personal conflicts, learn constructive problem-solving techniques, increase their abilities to understand and communicate with others, and identify short and long term goals to promote personal growth. Group counseling can also be an effective approach to resolving problems within a unit. Group counseling enhances a communication between staff and inmates, which is essential in developing and maintaining an effective program in inmate management.

Group counseling is defined as regularly scheduled group sessions (minimum once a week) with a staff person other than a correctional counselor. The staff member who is responsible for leading the group must also be responsible for the enrollment and completion form (BP-64 and will ascertain that the form is completed in an accurate and timely manner.

5043.

#### INDIVIDUAL COUNSELING

Individual counseling sessions will generally be initiated when the unit team and the inmate determine the need. Normally, a specific problem area will be identified and the purpose of the Individual counseling session agreed upon. Due to the amount of staff time required for individual counseling sessions, they should be used discriminately for those inmates who have a genuine need and who utilize the sessions productively.

Individual counseling will normally be conducted by staff members who have skill and interest in this approach. Staff members should have the ability to understand and recognize various personality disturbances and the ability to assist the inmate in personal growth. Often the staff member will receive consultation from the psychology department.

Individual counseling is defined as regularly scheduled individual sessions, (minimum once a week) with a staff person other than a correctional counselor. The staff member who conducts the individual counseling session will be responsible for the enrollment and completion form (BP-64 and will ascertain that the form is completed in an accurate and timely manner.

5044.

GROUP PSYCHOTHERAPY/INDIVIDUAL PSYCHOTHERAPY

Psychotherapy differs from other counseling approaches in that it is generally conducted by qualified psychology services staff. This often includes an in-depth diagnosis and treatment of personality dynamics and behavioral disorders. Either an individual or group approach may be used.

Individual Psychotherapy consists of formal treatment on a regular basis (minimum once a week) by a trained Psychotherapist, such as a Clinical Psychologist, Psychiatrist, or MSW Social Worker to help the inmate to make positive behavioral/emotional changes in him/herself.

Group Psychotherapy consists of formal treatment on a regular basis (minimum once a week) by a trained Psychotherapist such as a Clinical Psychologist, Psychiatrist, or MSW Social Worker, to help the inmates to make positive behavioral/emotional changes in themselves.

Staff members who conduct the group/individual psychotherapy sessions will be responsible for the enrollment and completion form (BP-6.2) and will ascertain that the form is completed in an accurate and timely manner.

Program Statement 5300.6, Inmate Programs Reporting System, should be referenced for both procedures and forms completion assistance.

5045.

INMATE AD HOC, ADVISORY GROUPS AND COMMITTEES

Inmate Ad Hoc, Advisory Groups and Committees are a frequently used method for providing inmates with the opportunity for involving themselves in unit programming. Ad Hoc, Advisory Groups and Committees provide a two-way communication between unit staff and inmates which is necessary for any healthy unit program. They provide a forum whereby difficulties can be averted, and they allow for Inmate Input relative to all aspects of unit programming. They tend to promote a feeling of increased self-worth on the part of the Inmates, and they are a good means for unit staff to stay abreast regarding various activities on the unit.

These groups are especially popular and effective because they are less cumbersome than large dormitory and Town Hall Meetings. Inmates specific duties, extent of authority and group structure should all be clearly defined and adhered to.

The Unit Manager is responsible for establishing procedures for selecting inmates to assure that the entire unit population is being represented and that the mission for which the committee was formed is being accomplished. Inmate involvement should be documented in the Unit Plan. The Unit Manager will carefully monitor these activities to maintain program integrity.

5345.

#### UNIT TOWN HALL MEETINGS

Town Hall meetings have proven to be an effective tool for enhancing assistive communication between staff and inmates. Town Hall meetings, by definition, are regularly scheduled meetings involving all unit staff and inmates. They provide a means for disseminating information, debate and discussion, and often resolve inmate and staff concerns. It is important that these meetings be only for issues that concern the unit, not a forum for discussion of individual case management matters. No Town Hall meetings will be held without consent and participation of unit staff.

Meeting structure and participation requirements may be different in various units and institutions. Meetings should be held at such time when all inmates and staff are available, to minimize interference with institutional operations. A clearly structured, well organized procedure should be followed to allow for an orderly running of the meeting. Published agendas for the meeting will keep the meeting efficient.

5347.

#### PEER COUNSELING

Using inmates as peer counselors is recommended when qualified inmates can be identified. Peer Counselors may have insights into unit operations and their peer's problems which gives them a special value in counseling services. Ongoing training in individual and group counseling is particularly important because most inmates lack experience and will need help in this area.

When peer counseling is utilized, it is essential that there is a careful selection process, that their roles are clearly defined, and that their activities are monitored by staff. Precautions will be taken to insure that the peer counselor is not labelled as "staff" or assumes staff responsibilities.



5048.

### UNIT ORIENTATION

Most institutions will have an Admission and Orientation Program. Some programs will be centralized because of the nature of the institution, while others may be decentralized. There may also be a combination of both.

Regardless of the approach adopted by the institution, each unit will be responsible for its own orientation program. This program will serve to inform new inmates of the unit program, operations, identify problems and concerns, and get the inmate into the "mainstream" of the unit activities as quickly and effectively as possible. It is essential that inmates meet staff on a planned basis within the first 24 hours of their assignment to the unit.

Orientation programs will be written, well-planned, and a method for documentation of the inmates progress through the program will be used. Unit orientation programs will be reviewed semi-annually and annually by the Unit Manager through the use of an internal evaluation format.

Unit Orientation programs will consist of at least two phases. First, will be the utilization of a check list by the Unit Manager, Case Manager and correctional Counselors, which will be completed by the staff members within 72 hours after an inmate's arrival on the unit. The second phase of the orientation program will consist of pertinent items of which the inmate must be informed by unit staff in either a group or individual session. This format will be written and well-defined.

An example of the unit check list and unit orientation program is attached in the appendix section of this manual. While the attached formats are not required to be utilized, they are an example of information that must be included in any unit check list and orientation program. Those items which are marked with a "dash" on the group or individual format may not be deleted unless it is determined that the items would be redundant in reference to the institution A&O Program. (See Appendix I)

5049.

### UNIT PRE-RELEASE PROGRAMS

Each unit will design a viable, ongoing pre-release program which recognizes that the inmate's preparation for release must begin as soon as he/she is initially committed to the institution. The emphasis is to aid the inmate in making a successful reintegration into the community. This program should meet realistic and acceptable release plans which are in line with the inmate's needs and desires. The program itself, may be a combination of the dissemination of information via lectures, video tapes, guest speakers, and/or the accumulation of documents, licenses, and certificates needed by the inmate upon release.

The scope of the program may incorporate some of the following: use of furloughs for release planning; work/study release units; program information about aftercare agencies; CTC transfers; lectures from local, state, and federal agencies; a job readiness course, condition of parole and group problem solving tailored to meet inmate needs.

Unit pre-release program are mandatory. However, a supplemental centralized program for the entire institution may be necessary to insure economy of resources. To insure a continuous, comprehensive release program, one unit staff member will be designated as the pre-release coordinator.

Unit pre-release programs may make use of a centralized pre-release program if that program is available. However, existence of a centralized pre-release program does not alleviate the necessity for a unit pre-release program.

#### 5053. LEISURE TIME - RECREATION PROGRAMS

Constructive use of leisure time is an extremely important area for unit inmates. Positive experiences in this area are easily transferred to the community. To have a viable unit recreation program, a unit Recreation Committee can be valuable to plan activities and act as liaison with unit staff.

The Unit Manager should keep several factors in mind when planning activities via the Recreation Committee: Unit age and interest; physical plant; avoidance of institutional functions to eliminate redundancy or overlap, etc.

Suggested activities are:

- 1| Monthly tournaments in table games;
2. Seasonal contests at times such as Christmas, New Year's, etc.
3. Inter-Unit competition in billiards, ping-pong, table games, etc.;
- 4| Hobby crafts

The unit should work closely with the Recreation Department to avoid conflicts and insure a realistic, quality recreation program

5051.

INMATE HOUSING LEVEL SYSTEM

One of the Inevitable facts of institutional life is that inmates will establish preferred living areas within each unit. Unit staff, through conscientious planning and management, will recognize this phenomenon to develop a meaningful housing level system. It will serve as an incentive and reward for whatever goals the staff has established to rid in the management of the inmates.

If a unit elects to utilize a level system, it will be written into the unit plan. Written guidelines will be distributed to the unit population and will provide clear delineation between each housing level.

Inmate input will help to develop a valuable housing level system which will be realistic and accepted by unit inmates.

5052.

PART-TIME AND CONTRACT EMPLOYEES

Unit Managers may wish to occasionally utilize outside resources in unit program development and evaluation. The use of such contractual personnel is contingent upon the availability of funds and the actual community resources available. Units throughout an institution may wish to share their funds and contract employees to more effectively utilize these resources.

Contract employees will not be hired to perform services that are duplicative in nature; that is, a contract employee should not be used to perform duties for which a full-time Bureau staff member is paid to perform. Contractual personnel may be hired for a specialty service which institutional staff does not possess the talent or expertise to perform; for specialty workshops; and to train staff in techniques and theories that will further the mission of the unit, institution and of the Federal Prison System.

When a contract employee is utilized, the Unit Manager will insure that this individual receives a complete orientation to the institution and unit.

Before executing a contract with any part-time personnel the unit Manager will develop written requirements and expectations for the contracted task. It is imperative that the contract explicitly delineate all aspects of the contractual needs. The Unit Manager will require each contract employee to submit periodic reports of progress toward the goal, and in order to accomplish this it is necessary that the goal be identified in measurable terms. Upon completion of the contract the Unit Manager will require the contract employee to provide a final report of task accomplishment and show an evaluation of the project. The Unit Manager will maintain a copy of this report in his/her contractual files for a period of five (5) years, and submit a copy of this report to the Business Manager of the institution.

5353.

### STUDENTS

The Federal Prison System promotes and encourages students to enter the correctional field. Many educational institutions find our facilities to be a positive training ground. When students are utilized, the unit manager will provide structured training and supervision. Individual units should develop a strategy to recruit, train, and utilize college practicum students or interns.

Personnel interviews are essential in determining the stability and character of the student as well as addressing the person's capability and needs. While students are gaining experience in the correctional setting, they can contribute fresh and innovative ideas to unit correctional programs.

The correctional institution is a complex and confusing situation for many students. It is expected that only mature students who can responsibly handle their placement will be recruited. Normally, graduate level students best meet this criteria.

Students who are selected to participate as an intern in a unit will receive institutional orientation the same as would a new employee entering on duty. In addition, it will be mandatory that the Unit Manager orient the student as to the unit's policy and procedures, mission and responsibilities upon receiving the student on the unit to begin their internship. The unit orientation program for the student intern will be written and well-defined. The attached unit staff orientation format which is located in the appendix of this manual will be used as the orientation program or may be used as a guideline to support or supplement the unit manager's own orientation program.

5054.

### VOLUNTEERS

Volunteers are useful to augment unit programs. They should be used to supplement and not replace, regular staff members. Generally, the unit manager has the responsibility for the recruitment and supervision of volunteers. The institution training officer and/or correctional supervisor may assist in their orientation. In the critical areas of contraband, control and fundamental security procedures, and basic staff/inmate relations.

Services provided by volunteers should relate to the unit philosophy and program. It is important that clearly defined objectives and roles be provided. Volunteers will be screened and their efforts will be continually monitored.

The unit manager is responsible for the orientation program for unit volunteers. The unit orientation program for volunteers will be written and well -defined. The unit staff orientation program which is located in the appendix of this manual will be utilized as the orientation program for volunteers or may be used as a guideline in order to supplement or support the unit manager's existing volunteer orientation program. Unit managers will document the activities of volunteers and supervise their activities.

5055.

### COMMUNITY ACTIVITIES

Staff and inmate participation in community activities can provide many benefits for all concerned. The type and location of the institution determines the extent of a unit's involvement in community programs. Unit Managers should utilize community resources in terms of the benefits they can provide for the community, institution and inmates.

Some of the benefits to be considered are:

1. Provides a means of normalization for inmates - contact with the "real" world;
2. Provides an incentive for inmates as they seek to improve and maintain their institution status in order to be able to participate in such an activity;
3. Provides an inmate with the opportunity to contribute to the community, which increases feelings of selfworth and responsibility.
4. Provides inmates with a positive experience for their use of leisure time;

5. Assists in the development of good public relations between the institution and the community;
6. Assists community organizations in accomplishing their objectives.

Other community activities that can be considered are: Special recreational programs, athletic events, field trips, and education programs.

The Unit Team will be selective in terms of the inmates who will participate. The Unit Manager and staff will carefully monitor the program

Community activities always require cooperation with various departments, especially the correctional department. The Unit Manager will work closely with all Institutional staff to maintain the objectives of the program. Staff will be sensitive to the special concerns of the community.

5060.

## MANAGEMENT OF A UNIT

### INTRODUCTION

A unit which receives major decision-making responsibilities from the administration is a small, but complex organization. The generalist Unit Manager has many areas for which he is responsible. Few Unit Managers are thoroughly familiar with the many responsibilities facing them, including security, case management, personnel, supervision, training, safety and sanitation, unit programs, budget management, research, etc. The effective Unit Manager must develop expertise in each of these areas. This person will often consult with the specialist department heads for assistance in raising his own proficiency, and to see that it is maintained at the necessary level.

This chapter will mention the major areas of responsibility on which a Unit Manager should focus his attention. Because of the variety of units in the Federal Prison System, and local needs, some guidelines are broad and permit and encourage local adaptation. Other categories are more specific and the standards to be met are more precise.

5061.

## HOURS OF DUTY/ANNUAL LEAVE

Unit Managers are responsible for establishing the working hours of their unit staff. Every unit will have evening and weekend staff coverage of the unit, in addition to the presence of the Unit Correctional Officer(s). All unit staff will be scheduled for some evening and/or weekend coverage to insure their availability to inmates during leisure hours and to become familiar with the total unit operation. The presence of unit staff at those times also contributes to better control of the unit inmates.

Unit Managers must also be present during some evening and weekend hours to fully monitor their total unit operation. With these guidelines, it is expected that each Unit Manager will develop a schedule which provides the best possible coverage.

Annual leave procedures will be developed to provide uninterrupted inmate services while insuring employees are granted annual leave. The Unit Managers should schedule annual leave in advance for all employees for whom they have responsibility. Correctional Counselors should be granted leave by the Unit Managers, who, through consultation with Chief Correctional Supervisor might be granted temporary Correctional Counselor coverage. The Unit Manager's annual leave should be approved in advance and scheduled by the Associate Warden.

5062.

### SAFETY AND SANITATION

The Federal Prison System maintains high standards in the areas of sanitation. The appearance of a unit reflects its pride and the quality of the management. High sanitation standards can be a positive force for fostering responsibility and pride in the unit inmates.

All unit staff are responsible for the appearance and cleanliness of their unit. Many units have had success in utilizing inmate sanitation committees. These committees may enhance a sense of individual and group responsibility. Sanitation standards are observable objectives and provide a means of evaluating an individual inmate's level of responsibility and progress as well as the unit's level of efficiency.

Safety within the unit encompasses not only the physical plant, but also includes the responsibility of unit staff to provide an environment where inmates can live without fear of intimidation, reprisal or unsafe conditions.

Unit staff are responsible for periodic inspection of the unit for fire hazards and any other hazards to safety and periodic safety lectures. During periodic shakedowns, staff should be aware of flammable materials as well as unauthorized tools. Improper use of unit equipment and horseplay that could result in inmate injury are also responsibilities of unit staff.

Fire plans should be developed for all units in accordance with Fire Safety Standards and Regulations. The Unit Manager should work with the Safety Manager in developing these plans. The plans should include designation of fire escapes; circulation routes; periodic fire drills; and use of emergency equipment in the unit.

5063.

### SECURITY

Unit Management results in the delegation of many security responsibilities to Unit Managers and their staff. These responsibilities may include providing count assistance, security shakedown inspections, contraband control, daily notations and review of unit logs, completion of bar taps, submission of security checks as required by Bureau and Local policy and awareness of Post Orders.

Continuous cooperation between unit staff and the custodial department will insure that security duties are accepted, practiced, monitored, and upgraded. While unit staff have many responsibilities, maintaining high security standards will always be a primary requirement.



PERSONNEL DEVELOPMENT AND EVALUATION

Unit Managers should review their staff constantly to assess strengths and weaknesses. While evaluation and formal training are governed by Federal Prison System and institutional policies, the use of staff meetings, daily closeouts, unit in-service training programs, opportunities for acting capacities, recognition of superior work, etc., are excellent methods of fostering personnel development. Whenever possible, cross training of unit staff is encouraged.

Regular evaluations and frequent informal review of performances with all unit staff will allow for efficient, positive career development. Thorough documentation of employee performance throughout the year is a good management practice. When employee evaluations occur, reference is made to the performance standards by which the employee will be rated.

The Unit Manager will assure that current position descriptions and performance standards are maintained and understood by all unit staff.

Unit Managers will work closely with the Personnel Department to insure that personnel practices are being followed. Specific Personnel Program Statements and Evaluation forms the Unit Manager needs to be familiar with are:

- 11 Merit Promotion Plan
- 21 Performance Evaluation Plan
- 31 Incentive Awards and Recognition
- 41 Master Agreement and Supplemental Local Agreement
5. Standards of Employee Conduct and Responsibility
6. Grievance Procedure and Disciplinary Action Procedures
- 71 BP ADMIN-194.
- 81 BP 150 - Executive Development Program
- 91 E. E. O. Action Plan and E. E. O. Requirements

5065.

STAFF TRAINING

Staff Training is governed by Federal Prison System policy and the Staff Training Coordinator should be consulted to assure that each staff member has fulfilled the level of required training. Optional Training should be scheduled as individual needs dictate, utilizing Federal Prison System and outside resources. This training will allow for personal staff growth while enhancing unit and institutional operations. Training is an on-going effort, and unit staff will be reviewed for necessary training and development needs. Training needs of each employee should be developed jointly by the Unit Manager and the employee. Once needs are identified, a plan of action should be developed with the training coordinator to implement the requested program. Thus, training should be pro-active rather than reactive.

Training forms the Unit Manager should be familiar with are:

1. Optional Form 170 (Required)
2. BP-/W-116 - Employee Education and Training Record
3. BP-ADM-127 - First Level Supervision Training Record
4. JETS Training Record

Review of the BP-116 or the Jets Record with the concerned employees will be made a part of the annual performance evaluation.

5066.

UNIT PROGRAM CHANGES

Unit Managers should be aware of the changing needs of their inmate population. This will require an on-going assessment of the relevance of unit programs. Program alterations occur in all units for various reasons, While Unit Managers or their staffs will make these adjustments, they will always be completed with the review and approval of the institution administration.

Major changes in Unit Management programs in institutions will be submitted to the Correctional Programs Administrator, Regional Office, for review, consultation, and approval. Copies of proposed program changes will be sent to the Correctional Programs Administrator, Central Office.

5057.

UNIT STAFF/INMATE RELATIONSHIPS AND COMMUNICATIONS

Healthy unit staff/inmate relationships based on mutual respect are essential in every unit. This is one of the major advantages of decentralized Unit Management. Good relationships foster an environment where communication, personal growth, and building a sense of "community" can take place. It is expected that each Unit Manager will develop a leadership role that assures the presence of this positive cl inmate.

5068.

UNIT STAFF MEETINGS

Unit staff meetings can be the core of a well-developed unit program and are an essential part of any unit operation. A unit staff meeting provides the opportunity for all staff members to initiate and develop ideas, resolve problems, disseminate information, and enhance group solidarity. All unit staff members are expected to contribute and participate in these meetings.

Unit staff meetings should be held on a weekly basis in order to provide continuity and maintain group cohesion. All unit staff members including the Correctional Officers, should be required to attend these meetings. Although Correctional Officers are not always on duty, arrangements should be made to have them attend as often as possible. It is urged that minutes be kept of the staff meetings and widely distributed to familiarize other departments and the administration with unit operations.

5369.

UNIT BUDGETS 305, 317 - DECISION UNIT F

Cost Center 305 has been developed for Unit Management. The provision of a Cost Center for Unit Management, with project numbers for type of unit, provides Unit Managers with financial resources and information necessary to carry out their unit responsibilities. The 305 account will capture definitive cost information for institutional, regional, and Central Office decision-making and program management.

Effective July 1, 1975, a Cost Center for Unit Management (305) was established in the Financial Management System (FMS). Project numbers were assigned for each specific type unit and for each general purpose unit. Units may be identified by a unique or distinct name, however, in FMS, each unit is to be identified by a project number and the title which corresponds to the purpose or program in the unit. The project number listing can be found in the Accounting Management Manual.

The budget committee, at their regularly scheduled meeting in each institutions, shall review the activities to be managed within the Unit Management Cost Center and transfer the applicable resources to the Cost Center. Items placed in the Cost Center will vary according to institution needs, however, all institutions are to place as many budget responsibilities as possible with the Unit Managers. Unit Managers are to develop project budgets via Budget Form 1, with instruction from the institution Business Office, on an annual and quarterly basis.

Unit Managers shall be fully responsible for the management of their projects (units) within the Cost Center. The Associate Warden will be responsible for the overall management of the Cost Center. Unit Managers should develop their budgets well in advance of the time designated by the Business Office for submission of requests from the various Cost Centers. Institutions usually present their request to the Regional Office in July of the year preceeding the next fiscal year.

It is expected that Unit Managers will receive Cost Center/Project Manager budget training within 90 days of entering on duty. Unit Managers are to maintain a running record of expenditures which they may compare with the record kept in the Business Office for their project number under Cost Center 305.

General units will receive their funding from the 305 Cost Center. Drug Abuse Units will receive their funding through Cost Center 317. Cost Center 317 funds are allocated through the Regional Correctional Programs Administrator. Drug Abuse Unit Managers will submit their budget requests to the Regional Office in July of the year preceeding the next fiscal year.

5070.

#### UNIT TEAM MEETINGS

The Unit Team Meeting is an essential element of the unit operations in making sound decisions regarding inmate programs and activities. It is a multi-disciplinary approach (Custody, Case Management, Education and Psychology), to insure professional input from all areas of the institution which affect the inmate's institutional activities. The inmate will always be present at initial classification and will be given the opportunity to attend program reviews. Each member is expected to attend the meetings thoroughly prepared to discuss the inmate under consideration. This will necessitate reading of case material, pre-sentence reports, etc. and interviews with the inmate.

Newly committed inmates should be scheduled for classification within four weeks and inmates transferred from a federal institution shall be scheduled for classification within two weeks. The Unit Team will conduct a program review of each inmate at least once every ninety days.

Unit Teams are composed of at least four (4) staff members, which include the Unit Manager, Case Manager, Counselor, and Educational Representative. Psychologist, Unit Officer and Secretary may also serve as team members but the team should not be so large as to lose its effectiveness. The Unit Manager is expected to be present at all Unit Team Meetings. Though it is not required that he be chairman, he must monitor these meetings and decisions in order to insure a quality operation. Other requirements of Unit Team operation are set forth in Program Statement 5322.4, "Classification and Program Review of Inmates", dated January 19, 1979.

Appeal of Unit Team decisions should be through established appeal procedures. Efforts should be made by the Unit Team to work out any problems which occur from Unit Team decisions. Review committees which operate under centralized management approaches are not appropriate where Unit Management is used. Responsibility, authority, and accountability for all decisions made under the general guidelines which the administration and policy set forth should assure good decision making processes.

5071.

UNIT DISCIPLINARY COMMITTEE AND  
INSTITUTIONAL DISCIPLINARY COMMITTEE

Where Unit Management exists in an institution, the Unit Disciplinary Committee (UDC) has the responsibility for taking initial action on Incident Reports incurred by unit inmates. Since unit staff members are more knowledgeable regarding their inmates, they are in a better position to take action which will best benefit the inmate and the institution.

The UDC has the authority to impose minor sanctions (G through P) in the Inmate Discipline Program Statement 5270.3 dated March 21, 1979, for violation of prohibited act(s). Unit Managers have the responsibility to insure that only appropriate cases are being referred to the IDC.

All unit staff members will be familiar with the Bureau Program Statement on Inmate Discipline.

5072.

UNIT PLAN GUIDELINES AND FORMAT

Unit Plans are developed to define unit missions and goals, describe programs, define responsibilities, and prescribe how the unit will evaluate its operation.

Each Unit Manager will develop and maintain a Unit Plan defining unit operation in accordance with existing institutions, Regional Office and Central Office requirements. It is encouraged that unit staff and inmates participate in the development of unit plans. Unit Plans should be developed and revised according to the Guidelines set forth in Guidelines and Format for a Unit Plan, dated December 15, 1976. (See Appendix III)

5073.

### UNIT EVALUATION AND RESEARCH

Evaluation of the unit concept of correctional management as it affects many areas of the institution is essential and is given a high priority in the Federal Prison System. Considerable effort has been directed towards this end, and to date, some of the results of these efforts have been published and distributed.

An effective ongoing evaluation program is a necessary element at every stage of the Unit Management process. These programs are necessary to provide information at the local, Regional, Bureau and Department of Justice levels.

Local evaluation and research programs may be relatively simple or may evolve into sophisticated programs depending upon the needs and personnel resources of the respective unit.

Unit-based evaluation and research may include a combination or all of the following items: Incident Reports, Unit Performance Reports; Work/School/Vocational Training Reports; Staff Contact Reports; Hospital Call-Outs; Weekly Inspection Reports; Furlough Reports; Escapes; CTC Releasees; Assaults; Psychological Testing; Management by Objectives, etc.

Institutional Administrators and Unit Managers are urged to develop an ongoing systematic evaluation of Unit Management. The Regional Research Coordinator will provide assistance and guidance to the institution in development of research evaluation projects. Copies of proposals for research and evaluation should be forwarded to the Research Coordinator and Correctional Programs Administrators at Region and Central Offices.

Regional Correctional Programs Administrators may develop a reporting system for data regarding, aspects of unit programs, such as Furloughs, Escapes, Incident Reports, activities, Population Breakdown, and such others that are necessary in maintaining an overview of Unit Management throughout the region.

5074.

### WEEKLY SCHEDULE OF UNIT ACTIVITIES

To enhance the Unit Management process at the local level, each unit will publicize a weekly schedule of activities. This schedule should include ongoing unit activities as well as special events. Wide distribution of this schedule is urged so that all concerned are aware of what is occurring within each unit.

Weekly unit schedules may be compiled for all units and distributed as a single document to concerned departments. This communication technique should contribute to further understanding of all unit programs and operations by other institution staff.

5075.

EVENING CORRECTIONAL PROGRAMS

Unit counseling groups, team meetings, as well as leisure time activities, can often be scheduled for evening hours. Evening programming reduces call-outs during the day, which in turn alleviates conflict with various institutional departments, such as Industry. Evening programming allows the inmate to function without interruption during the normal work day. It also encourages greater staff/inmate interaction at a time when unit inmates are more available.

Local needs and staffing patterns will determine the extent of Evening Programs. Unit staff schedules should reflect appropriate programs coverage on evening and weekends.

5076 .

INMATE FILES

Under most Unit Management systems, inmate files are decentralized and secured in the individual unit office. Although some delegation is necessary, the Unit Manager is accountable for file security and control. Files in the unit will be maintained in a fireproof security type cabinet with a clear method of accountability being established for the removal and return of the file. Staff will insure that files and confidential material are not transported by inmates.

Care must be taken in the organization and documentation of the files with special attention being given to compliance with FOI and Privacy Act procedures.

The Unit Manager is responsible for complying with all inmates records related to functions identified as "unit functions" in accordance with Program Statement 5800.1, "Record Office Functions", dated August 17, 1976.

5377.

COMMON RULES FOR ALL UNITS

When establishing unit rules and regulations, Unit Managers will keep in mind the effect they have on other units and on overall institution operations. Many rules and regulations in the units can be standardized without jeopardizing unique unit missions. Often unhealthy competition can be avoided if units adopt similar rules for similar situations.

Unit Managers will review proposed changes with other Unit Managers, affected department heads, and the administration, prior to implementation:

5078.

**ACTING UNIT MANAGER**

**Various unit staff members will have the opportunity to be Acting Unit Manager. This experience can serve as a means of developing unit personnel, assess level of capability and responsibility as well as encouraging and recognizing the staff members' abilities.**

**Cross training with other services can be invaluable training experience to further enhance an understanding of unit operations.**



5080.

UNIT MANAGER TRAINING PROGRAM

In the Summer of 1972, the first Unit Managers began to receive specialized middle management training. This course has been refined to include the many skills Unit Managers must develop.

The Unit Manager Training Program is operated by the Unit Management Section, Central Office, with assistance provided by knowledgeable Regional Office and institutional staff. The training is usually held in one of the Staff Training Centers. Various management and support personnel frequently monitor the training to increase their understanding of the decentralized, unit approach to correctional management.

5090.

RATING AND REVIEWING UNIT STAFF

Since the inception of Unit Management, there has been much discussion about procedures for the rating and reviewing of unit staff. The 1975 Task Force on Unit Management Performance have all contributed to the procedures which were finalized. It is expected that these rating and reviewing standards will be adhered to in all institutions.

5091.

UNIT MANAGER

The Unit Manager will be rated by the Associate Warden and reviewed by the Warden.

5092.

CASE MANAGER

The Case Manager will be rated by the Unit Manager. The Associate Warden will review the Case Manager's rating.

5093.

CORRECTIONAL COUNSELOR

The Correctional Counselor will be rated by the Unit Manager and reviewed by the Associate Warden.

5094.

UNIT SECRETARY

The Unit Secretary will be rated by the Unit Manager and reviewed by the Associate Warden.

5095.

UNIT CORRECTIONAL OFFICER

The Unit Correctional Officer who receives the majority of his supervision from the Unit Manager (Day and Evening Watch) during the rating period, will be rated by the Unit Manager, with input from the 5x8 cards from the Correctional Supervisors. Unit Correctional Officers who receive the majority of their supervision during a rating period from the Correctional Supervisor, will be rated by the Correctional Supervisor, with input from the Unit Manager on a 5x8 card. Memorandum outlining the Officer's performance should not be utilized in lieu of comments on the 5x8 evaluations. The Chief Correctional Supervisors will review. Sick and Annual Relief Officers will also be rated by the Correctional Supervisors and reviewed by the Chief Correctional Supervisor.

5096.

EDUCATION REPRESENTATIVE

The part-time Unit Education Representative will be rated by the Supervisor or Assistant Supervisor of Education, with input from the Unit Manager. The Supervisor of Education or Associate Warden will review.

5097.

UNIT PSYCHOLOGIST

The Unit Psychologist, who is assigned permanently to a unit on a full-time basis, will be rated by the Unit Manager with input from the Chief of Psychology. A Psychologist who is assigned on a part-time basis to a unit will be rated by the Chief of Psychology with input from the Unit Manager(s). The Associate Warden will review.

APPENDIX

## UNIT A&O PROGRAMS

This format is a suggested program for all Unit A&O Programs. Each unit is expected to have a written and well-defined A&O format which will contain some or all of the items listed. The Unit Admission and Orientation Program may be presented to inmates whether individually or to a group of inmates. However the program is presented will depend upon the choice of the unit manager and staff.

Please note that the total orientation program is two phase in nature:

1. Initial check-list
2. A&O Program format

Those items which are denoted by the "dash" mark will be mandatory in-unit A&O Programs unless they are redundant with the institutional A&O Program

**UNIT ORIENTATION CHECK-LIST**

**Staff Completion within 72 Hours**

**Unit Manager**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

- ( ) Assignment of Case Manager/Counselor
- ( ) Copy of Unit rules and regulations
- ( ) Has inmate received a copy of Rights & Responsibilities?

**Case Manager**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

- ( ) General Introduction
- ( ) Identify needs/review concern areas (protection cases, DAP/ATU candidate)
- ( ) Sentence data

**Correctional Counselor**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**D a t e**

- ( ) Unit fire escape procedures/fire safety
- ( ) Telephone regulation
- ( ) Visiting list (initial list)
- ( ) Dining room hours - meal rotation'
- ( ) Commissary procedures
- ( ) Clothing exchange procedures

**Unit Officer**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

- ( ) Count procedures
- ( ) Contraband
- ( ) Room, cell, cubicle assignment and visitation policy between these areas)
- ( ) Wake-up/Lights-out/T.V. policy

I have received the above unit orientation and have had the opportunity to discuss all the above areas with above unit staff members.

\_\_\_\_\_  
**Inmate Signature**

## PROPOSED UNIT ADMISSION AND ORIENTATION PROGRAM

(Group - Individual)

Utilizing Lectures, Slides & Forms

### UNIT MANAGER

- Unit personnel
- Unit staff working schedules
- General unit programs
- Discussion of unit rules & regulation
- Unit Disciplinary Committee (membership, sanctions, referral to IDC)
- Institutional Disciplinary Committee

### CASE MANAGER

- Unit team (members, meeting day/time)
- Team Classification/Review procedures (initial, MR/PV, transfers, BP-6.I)
- Parole eligibility & procedures (show forms for application, waiver, where obtained, when & where to file)
- Statutory Good Time/Extra Good Time/MGT
- Detainers (effect on programs, transfers, procedure for I/S agreement)
- Education program (availability, explain optional programming)
- Prisoner's Mailbox (correspondence)
- Low Library
- Legal Assistance Program
- Legal mail handling (incoming/outgoing)
- Drug/Alcohol Abuse Programs (referral procedure)
- Furlough policy
- Transfer to other institutions (including CTC)
- Pre-release program (institution/unit)
- Release procedures (except, MR. SPT, relocation, release plans)
- Drug Abuse aftercare procedures
- Release gratuity & clothing
- Withdrawal of funds (Form 24's)
- Custody Classification/Security Designations

### CORRECTIONAL COUNSELOR(s)

- Sanitation (cell, room, cubicle, unit)
- Leisure time activities
- Administrative Remedy Appeal procedures (discuss process)
- Pass System
- Call-out system
- Change sheet (when changes are effected due to team action)
- Work Program (temporary, permanent assignment, change procedures)
- Visiting list (additions, deletions)
- Unit/institution Counseling Programs
- Medical Services (emergency/routine from unit)
- Unit Bulletin Boards (location, type of information available)
- Regular Mail procedures
- Performance Pay
- Cubicle, cell, bed, unit change process
- Amount of personal property allowed in living area
- Institution/Unit "Open House" procedures (Warden, AW, etc.)

### UNIT STAFF ORIENTATION PROGRAM

**Orientation of staff, upon initial assignment to a unit, will be accomplished by the unit manager.**

The attached **outline is an** example of the information which should **be included in the staff orientation program presented to unit staff.**

**Also included in the orientation process will be consultants, volunteers, student interns, and other individuals who are utilized by the unit for services to inmates and/or staff.**

**It will be the responsibility of the unit manager to develop, -in writing, the unit staff orientation program for staff members who are assigned to his/her unit. It is believed that the majority of items on the attached guideline should be utilized by the unit manager to orient unit staff members.**

## PROPOSED UNIT STAFF ORIENTATION

### Initial Orientation

- \* Staff introductions
- \* Unit tour
- Position description/performance standards/rating process
- Hours of work/days of work/rotation of work schedule, if any
- Unit annual leave schedule
- Unit sick leave (who and when to contact if ill)
- Specific unit job expectations
- Staff roles

### Unit Orientation

- Unit plan
- \* Unit rules and regulations
- \* Unit officer log, shakedown log, bed/call locator, post orders, unit inmate locator system
- Central file - location checkout system, security procedures
- Xeroxing equipment (location, information which can/cannot be copied)
- Sycor location
- \* Team meetings - time, day and staff functions
- Unit program activities
- Policy statements - location institution/unit/inmate accessibility
- Unit A&O/Pre-release program
- \* Safety and sanitation expectations.
- \* Staff security responsibilities
- Unit disciplinary committee - members, meeting schedule
- Unit staff visibility in unit/institution
- \* Fire safety/escape procedures
- Orientation/supervision of students, volunteers (if applicable)
- Unit staff/case manager/secretary meetings (time, day, place)
- Administrative remedy procedures
- \* Unit officer's role
- \* Unit communications (method & necessity)

### Unit Procedures

Define unit paperwork requirements, flow and responsibilities

- a. Intake screening
- b. Admission and orientation
- c. Classification
- d. Reviews
- e. Team dockets
- f. AO-235 responses



- g Court responses
- h Congressional replies
- i Parole progress reports
- j Parole procedures - application, waivers, CJA-22 forms, hearings-types, list of eligibles, dockets-preparation, distribution
- k IPRS (6. 1, 6.2, 72.85, 72.90)
- l Furlough/escorted trips (procedures, eligibility)
- m Transfers (referral procedures, institutions, CTC's)
- n Central files (correct filing procedures, FCI/C.F. stamping, FOI section)
- o PV/MRV reports
- p Release procedures - types of release, parole plans, requesting parole certificates, drug aftercare referrals, paperwork requirements for different types
- q. Gratuity (amount, paperwork process, Form 13's)
- r. Other areas of local unit operations as defined by local policy

**General**

- a. Define Bureau terminology - PPRS, B.O.P., U.S.P.O., FOI, U.D.C., I.D.C., J & C's, C.M.C. cases, MRV/PV, Shots, etc.

GUIDELINES AND FORMAT  
FOR A UNIT PLAN

SECTION I  
UNIT DESCRIPTION

- A Describe in one paragraph the general purpose of the unit.
- B Describe in narrative form the following subjects:
- 1 Selection criteria
  - 2 Age range
  - 3 Planned capacity
  - 4 Housing arrangements
  - 5 Parole Hearings
  - 6 Staffing pattern
  - 7 Student interns, consultants & volunteers
  - 8 Counseling and Correctional Programs approach

SECTION II  
CURRENT UNIT PROGRAMS

- A Describe program, objectives, and method of implementing each current unit program.
- B1 Stimulators for unit programs:
- 1 Admission and orientation
  - 2 Resident handbook
  - 3 Town hall meetings
  - 4 Resident council
  - 5 Group counseling
  - 6 Individual counseling
  - 7 Leisure time activities
  - 8 Students, volunteers and-consultants

- 9 Resident/staff relationships
- 10 Resident/staff participation
- 11 Classification, follow-up and review
- 12 Pre-release programming [unit)
- 13 Community involvement
- 14 Program evaluation and effectiveness
- 15 Selection criteria for inmates
- 16 Program criteria for inmates
- 17 Inmate involvement
- 18 Reinforcement
- 19 Community activities
- 20 Correctional approaches used
- 21 Opportunities available for inmate input
- 22 Operational plan for developing, maintaining,  
and monitoring a program oriented atmosphere
- 23 Urine analysis

SECTION III.  
FUTURE UNIT PROGRAM

- A Identify and describe future planned programs, objectives, and methods of implementation.
- B List target date.

SECTION IV  
UNIT OPERATION

- A Describe each unit operational issue, giving objectives and procedures for implementation.
- B Stimulators for unit operational issues:
  - 1 Selection of unit staff
  - 2 Selection of unit officer
  - 3 Officer rotation
  - 4 Staffing patterns in unit.

5. Staff matching
6. Lines of supervision
7. Rating and review of unit staff
8. Staff training
9. Staff work schedule
10. Unit staff meetings - minutes distribution
11. Sanitation
12. Control of security
13. Classification teams - composition, hours of teaming
14. Operational procedures for U.D.C.
15. Operational procedures for record keeping and control
16. Operational procedures for clerical support and clerical relief
17. Procedures for communication with non-unit staff and departments
18. Monthly incident report analysis
19. Monthly release report analysis
20. Organization chart of unit staff
21. Unit work schedule
22. Supervision of correctional officers in unit
23. Unit manager rôle in selection of new employees
24. Operational procedures for educational representative
25. Operational procedures for monitoring case management responsibilities
26. Unit managers responsibilities
27. Unit staff responsibilities
28. Unit officer involvement
29. Institutional staff involvement with units
30. Unit involvement/relationships with institutional departments
31. Urine analysis
32. Budget - 305 and 317 Cost Centers  
P.M.S. numbers

SECTION V  
UNIT EVALUATION AND RESEARCH

- A. Research
- B. Data collecting
- C. Record keeping